

**Strategic Technology Office (STO) Broad Agency  
Announcement (BAA)**

**DARPA-BAA-09-22  
Strategic Technologies  
11 March 2009**

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## **Part One: Overview Information**

- **Federal Agency Name** – Defense Advanced Research Projects Agency (DARPA), Strategic Technologies Office
- **Funding Opportunity Title** – Strategic Technologies
- **Announcement Type** – Initial announcement
- **Funding Opportunity Number** – Broad Agency Announcement (BAA) DARPA-BAA-09-22
- **Catalog of Federal Domestic Assistance Numbers (CFDA)** – 12.910 Research and Technology Development
- **Dates**
  - BAA Posting Date: 11 March, 2009
  - BAA Closing Date: 10 March, 2010
- **Anticipated individual awards** – Multiple awards are anticipated.
- **Types of instruments that may be awarded** -- Procurement contract, grant, cooperative agreement or other transaction.
- **Agency contact** --The BAA Coordinator for this effort can be reached at [BAA09-22@darpa.mil](mailto:BAA09-22@darpa.mil).

## **Part Two: Full Text of Announcement**

### **1. FUNDING OPPORTUNITY DESCRIPTION**

The Defense Advanced Research Projects Agency often selects its research efforts through the Broad Agency Announcement (BAA) process. The BAA will appear first on the FedBizOpps website, <http://www.fedbizopps.gov/>, and/or Grants.gov website at <http://www.grants.gov/>. The following information is for those wishing to respond to the BAA.

The Defense Advanced Research Projects Agency's (DARPA) Strategic Technology Office (STO) is soliciting innovative proposals under this BAA for the performance of research, development, design, and testing that directly supports Strategic Technology Office (STO). This includes Space and Near-Space Sensors and Systems; Strategic and Tactical Networks; Information Assurance; Counter Underground Facilities; Weapons of Mass Destruction (WMD) Defense; Small Unit Operations; Maritime Operations; and Core Strategic Technologies. Proposed research should investigate innovative approaches that enable revolutionary advances in science, devices, or systems. Specifically excluded is research that primarily results in evolutionary improvements to the existing state of practice.

#### **1.1. PROGRAM OVERVIEW**

Research supporting any of STO's broad mission objectives identified in the Introduction above may be submitted under this BAA. Topic areas of specific interest include, but are not limited to, the following:

- I. Space and Near-Space Sensors and Systems
  - a. Active damping and smart materials for precision control of space structures;
  - b. Concepts for space systems, sensors, structures, components and materials;
  - c. Concepts supporting affordable access—and thus proliferation—of high-performance space sensors and systems;
  - d. Extremely large space apertures and structures, including large space structures that have extremely small payload volumes (e.g., rigidized inflatables, isogrid composites, etc.);
  - e. Global tailored tactical surveillance;
  - f. High performance micro- and picosat systems;
  - g. Innovative sensor systems for space control applications including extremely large, lightweight and stowable aperture technologies;
  - h. Large distributed array remote sensing systems, both space based and ground based for space object location and identification;
  - i. Lightweight and low-mass active/passive membranes;
  - j. Next generation power generation systems including electrodynamic and momentum tethers, advanced solar systems, and others;
  - k. Next generation space technologies & systems;
  - l. Novel space-based sensor modalities and systems;
  - m. Novel systems and enabling technologies for high-resolution, deep sub-canopy surveillance;

- n. Remote optical sensing technologies;
- o. Technologies supporting next-generation tactical space operations including rapid access, SSA, protection, servicing, robust anti-jam SATCOM, and persistent tactical grade sensing approaches;
- p. Wide-area urban tracking architectures;
- q. Space environmental awareness and space weather forecasting;
- r. Temporary systems to quickly duplicate the mission capabilities of damaged satellites;
- s. Manufacturing technologies for the development of large space apertures.

## II. Strategic and Tactical Networks

- a. Free space optical communications and supporting technologies;
- b. Applications, architecture, control and management, and hardware systems for multi-terabit, fiber-optic core, edge and mobile-platform networks;
- c. Approaches to inter-connect wave-division multiplexed backbone communications infrastructures with IP-based metropolitan networks (may include route discovery/distribution and new addressing schemes);
- d. Approaches to make tactical networks auto-configuring for both voice and data with the goal of reducing the manpower requirements (may include the complete replacement of IP as the underlying data protocol);
- e. Distributed, grid, and networked computing systems;
- f. Hybrid passive/active radar systems that are agile over available bandwidth;
- g. Information and communication technologies to enable "power to the edge" for air, land, space and maritime systems;
- h. Innovative urban sensing systems and networked architectures;
- i. Miniature, low power sensors and networks;
- j. Network centric warfare, including novel approaches to the development, implementation, and control of networked weapons systems;
- k. Network storage and caching protocols for reducing long-haul communications loads;
- l. New approaches to self-forming, wireless, mesh networks of over 10,000 devices with high throughput (at least 50 Mbps across the network between two end-points. This may include work on multiple frequencies, graph partitioning, and sub-net allocations);
- m. Novel approaches for the development, implementation and control of heterogeneous networks of human decision makers and human-operated or autonomous sensors and weapons;
- n. Novel approaches to effect collaboration among human decision makers in heterogeneous, coalition environments;
- o. Novel approaches to monitor, visualize and recommend alternative courses-of-action in the management and defense of massive, heterogeneous wide-area networks (5 million nodes);
- p. Signature reduction (low probability of detection/intercept);
- q. Size-weight-power reduced soldier electronics and communications devices;
- r. Sensing and communication applications in high multipath urban environments;
- s. Unmanned systems – Heterogeneous networks of vehicles and sensors.

### III. Information Assurance

- a. Autonomous protection or reconstitution of large network environments from cyber attacks;
- b. Computer forensic and software protection technologies;
- c. Quantum Key Distribution and Quantum Data Encryption across a long-haul fiber optic network
- d. Low-cost military grade encryption mechanisms / devices;
- e. Novel approaches to derive confidence of identity of remote information, users, processes, and devices in dynamic, untrusted, networked environments;
- f. Novel approaches to measure, compare, and assess alternative information operations tools and effects;
- g. Novel approaches to quantify information assurance security;
- h. Novel methods to deter cyber adversaries;
- i. Novel microprocessor/computing architectures to support secure computing;
- j. Trustworthy computing in mobile environments;
- k. Wide area network firewalls and proxies, capable of dealing with asymmetric data flows and speeds in excess of 40Gbps;
- l. Distributed multi-static sensor networks;
- m. Novel technologies to revolutionize cyber security testing and evaluation;
- n. Methods to protect against network disruption.

### IV. Counter Underground Facilities

- a. Close-in and standoff sensor concepts;
- b. Determining structural layout or locations of specific vulnerabilities;
- c. Development and demonstration of technologies to find unknown facilities, on both strategic and tactical timelines;
- d. Identification of facility function;
- e. Monitoring pace of activity;
- f. Enhancing post-attack bomb damage assessment (BDA);
- g. Exploitation algorithms and signal processing;
- h. Exploitation of novel observables or substantially improved methods of detecting/analyzing observables, including active source methods;
- i. Improved communications across rugged terrain among assets, and for exfiltration uplinks;
- j. Improved deployable ground and airborne sensors;
- k. New methods for characterizing activities associated with tunnels and caves, to include small and unimproved sites, in both urban and rural areas;
- l. New methods for sensor and system modeling;
- m. Large geophysical inversions of multi-source data;

### V. Weapons of Mass Destruction (WMD) Defense

- a. Chemical, biological, radiological, nuclear, and environmental sensors and deconflict;
- b. Defense against chemical, biological, and radiological weapons;
- c. Sensing approaches for material identification;

- d. Collection technology for atmospheric, terrestrial, and marine samples;
- e. Automated chemical analysis of trace materials;
- f. Devices and methods for managing biological heat stress;
- g. Proximate sensing using cellular automata;
- h. Long-Range Sensing of WMD Development and Deployment; Countermeasures.

VI. Small Unit Operations

- a. Advanced explosives for special operations;
- b. Advanced sighting systems for tactical operations;
- c. Detection of indirectly fired mortars and RPGs;
- d. Direction finding capabilities for urban applications;
- e. GPS-free guidance and navigation;
- f. Low-cost (<\$100) expendable GPS sensors;
- g. Low cost stand-off concealed weapons detection;
- h. Miniature, low power sensors and networks;
- i. Non-acoustic bullet detection and tracking technology;
- j. Non-cooperative LPD building interior imaging systems;
- k. Non line-of-sight designation and elimination of urban targets;
- l. Novel approaches for the development and implementation of asymmetric warfare;
- m. Novel laser remote sensing, laser radar, LADAR and LIDAR systems concepts, techniques and enabling technologies;
- n. Novel methods for tracking, localization, and identification;
- o. Novel miniature, low cost RADAR system concepts;
- p. Novel precision navigation and real-time targeting systems concepts and technologies;
- q. Novel systems and enabling technologies for high-resolution, deep sub-canopy imaging;
- r. Novel technologies to enable tactical, operational, and strategic level distributed operations;
- s. Personal navigation and high precision targeting technology in GPS-denied and -compromised environments;
- t. Positive detection of urban threats;
- u. Signature reduction (low probability of detection/intercept);
- v. Size-weight-power reduced soldier electronics and communications devices;
- w. Soldier survivability materials, systems, and devices;
- x. Tactical lighting and imaging devices and technologies (including both visible and IR spectrum);
- y. Tactical optical systems that aid and enhance the ability of the warfighter;
- z. Technologies and systems for the detection of suspicious urban vehicles;
- aa. Vehicle survivability materials, systems, and devices;
- bb. Wide-area urban tracking architectures;
- cc. UAV and aircraft icing detection and risk mitigation technologies;
- dd. Novel technologies and systems to identify threats prior to building entry;
- ee. Stand off explosive detection;



- ff. Novel technologies for the translation of information requirements to sensor parameters, and optimization of sensor suites for addressing information needs;
- gg. Sensor systems for determining building layouts and personnel within buildings;
- hh. Denial and demilitarization of munitions and facilities;
- ii. Medical mobility and disaster relief support technologies;
- jj. RPG and unguided rocket identification and defeat technologies for ground and air vehicles;
- kk. RPG/line of sight threat prelaunch detection;
- ll. Novel low weight/high efficiency power generator technologies;
- mm. All-weather terrain following and obstruction avoidance systems;
- nn. Ultra-fast sensors for tracking EFP fragments;
- oo. Ultra-fast active protection technologies for EFP mitigation;
- pp. Maintenance of human physiology as though at sea-level in any environment;
- qq. Warfighter self-sustainment;
- rr. Dense nutritional supplements;
- ss. Potable water harvesting;
- tt. Anti-icing;
- uu. Portable manufacturing;
- vv. Non-kinetic RSTA;
- ww. Universal, symbol-based command and control;
- xx. Standoff health monitoring;
- yy. Standoff health care;
- zz. Field survival pack for any environment;
- aaa. Bio-hardening;
- bbb. Field medic test diagnostics;
- ccc. Broad spectrum detection and characterization of bio-hazard indicators.

## VII. Maritime Operations

- a. Maritime surveillance systems and technologies;
- b. Miniature, low power underwater (water column and bottom-mounted) sensors and networks;
- c. Novel approaches to significantly reduce the cost of undersea warfare, without compromising capability;
- d. Novel underwater high-maneuverability propulsion system;
- e. Unmanned long-duration, high-speed underwater vehicles;
- f. Concepts supporting an affordable replacement for submarine organic sensors with a single hull-mounted sensor to include: sensor, materials, processing and support technologies and systems; supporting physics and mathematical concepts and modeling;
- g. Active and passive ship board detection systems for ship board protection and maritime contraband detection technology;
- h. Unique concepts for tagging, tracking, and locating;
- i. Signature reduction (low probability of detection/intercept);
- j. RPG and unguided rocket identification and defeat technologies for sea vehicles;
- k. Non-traditional approaches for active low-power sonar;
- l. Solutions for rapid deployment of multiple small-scale sensors;

- m. Novel communications for distributed sensors and platforms over expansive maritime operating areas;
- n. Novel submarine signature exploitation for detection and classification;
- o. High-power density air independent propulsion;
- p. Revolutionary drag reduction technologies;
- q. Shock mitigation for high speed maritime platforms;
- r. Unmanned systems for riverine applications;
- s. Submarine laser communications;
- t. Non-acoustic anti-submarine warfare.

#### VIII. Strategic Intelligence Surveillance and Reconnaissance

- a. Advanced 3D image processing, analysis and feature extraction approaches;
- b. Lensless and Computational Imaging;
- c. Enabling active electro-optical sensing technology and system concepts for advanced sensing and countermeasures;
- d. Ultra-sensitive R.F. receivers;
- e. Remote detection of concealed explosives;
- f. Long-range laser radar systems;
- g. High-resolution 3-D imaging systems;
- h. Arctic Indications and Warnings technologies and systems;
- i. 3-D imaging of ice flows;
- j. Non-kinetic ISR;
- k. Large-scale data fusion of heterogeneous phenomenologies;
- l. Standoff sensing through buildings, weather, water, foliage, and other challenges to conventional sensing approaches;
- m. Standoff detection and characterization of weapons, explosives, as well as chem/bio/radiological/nuclear threats.

#### IX. Core Strategic Technologies

- a. Advanced electronic vision and situation awareness devices, algorithms, and systems;
- b. Biofabrication processes for improved nanostructured devices and materials;
- c. Biomimetic object-vision recognition;
- d. Innovative methods to visualize complex, self-organizing systems;
- e. Novel three-dimensional data visualization and projection methods;
- f. Power harvesting technologies and devices;
- g. Self assembly and/or manufacture techniques;
- h. Exploitation of human visual physics and physiology of visual perception for efficiently conveying or hiding information;
- i. Materials and composites with spatially tunable elastic properties;
- j. Radiation damage to microelectronic systems;
- k. Applied quantum mechanics;
- l. Energy-related power systems and portable power technologies;
- m. Core technology development for medical and disaster relief and preparedness.
- n. Advanced methods of large-scale electromagnetic field generation and exploitation;

- o. Breathalyzer for rapid and sensitive determination of human health;
- p. Remote environmental sensing technologies;
- q. High-power pulsed lasers;
- r. Non-mechanical laser beam steering and zooming;
- s. Advanced battlefield forensic techniques to track highly mobile insurgent forces;
- t. Geothermal energy systems;
- u. Energy harvesting, generation, conversion, storage, distribution, and control;
- v. Technology for deterrence operations;
- w. Technology for systems to adapt rapidly to changing operational and/or environmental needs;
- x. Technology for tamper-resistant systems;
- y. Assured operations in austere environments;
- z. Rapidly deployable infrastructure.

## **2. AWARD INFORMATION**

Multiple awards are possible. The amount of resources made available under this BAA will depend on the quality of the proposals received and the availability of funds.

The Government reserves the right to select for negotiation all, some, one, or none of the proposals received in response to this solicitation, and to make awards without discussions with proposers. The Government also reserves the right to conduct discussions if the Source Selection Authority later determines them to be necessary. If warranted, portions of resulting awards may be segregated into pre-priced options. Additionally, DARPA reserves the right to accept proposals in their entirety or to select only portions of proposals for award. In the event that DARPA desires to award only portions of a proposal, negotiations may be opened with that proposer. If the proposed effort is inherently divisible and nothing is gained from the aggregation, proposers should consider submitting it as multiple independent efforts. The Government reserves the right to fund proposals in phases with options for continued work at the end of one or more of the phases.

Awards under this BAA will be made to proposers on the basis of the evaluation criteria listed below (see section labeled “Application Review Information”, Sec. 5.), and program balance to provide overall value to the Government. Proposals identified for negotiation may result in a procurement contract, grant, cooperative agreement, or other transaction depending upon the nature of the work proposed, the required degree of interaction between parties, and other factors. The Government reserves the right to request any additional, necessary documentation once it makes the award instrument determination. Such additional information may include but is not limited to Representations and Certifications. The Government reserves the rights to remove proposers from award consideration should the parties fail to reach agreement on award terms, conditions and cost/price within a reasonable time or the proposer fails to timely provide required additional information.

As of the date of publication of this BAA, DARPA expects that program goals for this BAA may be met by proposers intending to perform 'fundamental research,' as well as proposers intending to perform 'advanced research'. For these purposes, fundamental research is defined as basic

and applied research in science and engineering, the results of which ordinarily are published and shared broadly within the scientific community, as distinguished from proprietary research and from industrial development, design, production, and product utilization the results of which ordinarily are restricted for proprietary or national security reasons. Advanced research is considered to be an applied research effort that presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense. Notwithstanding these statements of expectation, DARPA is not prohibited from considering and selecting research proposals that, while perhaps not qualifying as 'fundamental research' or 'advanced research' under the foregoing definitions, still meet the BAA criteria for submissions. In all cases, the contracting officer shall have sole discretion to select award instrument type and to negotiate all instrument provisions with selectees.

### **3. ELIGIBILITY INFORMATION**

#### **3.1 ELIGIBLE APPLICANTS**

All responsible sources capable of satisfying the Government's needs may submit a proposal that shall be considered by DARPA. Historically Black Colleges and Universities (HBCUs), Small Businesses, Small Disadvantaged Businesses and Minority Institutions (MIs) are encouraged to submit proposals and join others in submitting proposals; however, no portion of this announcement will be set aside for these organizations' participation due to the impracticality of reserving discrete or severable areas of this research for exclusive competition among these entities.

Federally Funded Research and Development Centers (FFRDCs) and Government entities (Government/National laboratories, military educational institutions, etc.) are subject to applicable direct competition limitations and cannot propose to this BAA in any capacity unless they meet the following conditions. FFRDCs must clearly demonstrate that the work is not otherwise available from the private sector AND they also provide a letter on letterhead from their sponsoring organization citing the specific authority establishing their eligibility to propose to government solicitations and compete with industry, and compliance with the associated FFRDC sponsor agreement and terms and conditions. This information is required for FFRDCs proposing to be prime or subcontractors. Government entities must clearly demonstrate that the work is not otherwise available from the private sector and provide written documentation citing the specific statutory authority (as well as, where relevant, contractual authority) establishing their ability to propose to Government solicitations. At the present time, DARPA does not consider 15 U.S.C. 3710a to be sufficient legal authority to show eligibility. While 10 U.S.C. 2539b may be the appropriate statutory starting point for some entities, specific supporting regulatory guidance, together with evidence of agency approval, will still be required to fully establish eligibility. DARPA will consider eligibility submissions on a case-by-case basis; however, the burden to prove eligibility for all team members rests solely with the proposer.

Foreign participants and/or individuals may participate to the extent that such participants comply with any necessary Non-Disclosure Agreements, Security Regulations, Export Control Laws, and other governing statutes applicable under the circumstances.

### **3.1.1 Procurement Integrity, Standards of Conduct, Ethical Considerations, and Organizational Conflicts of Interest**

Certain post-employment restrictions on former federal officers and employees may exist, including special Government employees (including but not limited to Title 18, Section 207, United States Code, the Procurement Integrity Act, 41 U.S.C. 423, and FAR 3.104).

Current federal employees are prohibited from participating in particular matters involving conflicting financial, employment, and representational interests (18 USC 203, 205, and 208). Prior to the start of proposal evaluations, the Government will assess whether any potential conflict of interest exists in regards to the DARPA Program Manager as well as those individuals chosen to evaluate proposals received under this BAA. The Program Manager is required to review and evaluate all proposals received under this BAA and to manage all selected efforts.

All Proposers and proposed subcontractors must affirm whether they are providing scientific, engineering, and technical assistance (SETA) or similar support to any DARPA technical office(s) through an active contract or subcontract. All affirmations must state which office(s) the Proposer supports and identify the prime contract numbers. Affirmations shall be furnished at the time of proposal submission. All facts relevant to the existence or potential existence of organizational conflicts of interest (FAR 9.5) must be disclosed. The disclosure shall include a description of the action the Proposer has taken or proposes to take to avoid, neutralize, or mitigate such conflict. In accordance with FAR 9.503 and without prior approval or a waiver from the DARPA Director, a Contractor cannot simultaneously be a SETA and Performer. Proposals that fail to fully disclose potential conflicts of interests and/or do not have plans to mitigate this conflict will be rejected without technical evaluation and withdrawn from further consideration for award.

If a prospective Proposer believes that any conflict of interest exists or may exist (whether organizational or otherwise), the Proposer should promptly raise the issue with DARPA by sending Proposer's contact information and a summary of the potential conflict by email to the mailbox address for this BAA at [BAA09-22@darpa.mil](mailto:BAA09-22@darpa.mil) before time and effort are expended in preparing a proposal and mitigation plan. If, in the sole opinion of the Government after full consideration for the circumstances, any conflict situation cannot be effectively mitigated, the proposal may be returned without technical evaluation and withdrawn from further consideration for award under this BAA.

### **3.2 COST SHARING/MATCHING**

Cost sharing is not required for this particular program; however, cost sharing will be carefully considered where there is an applicable statutory condition relating to the selected funding instrument (e.g., for any Other Transactions under the authority of 10 U.S.C. § 2371). Cost sharing is encouraged where there is a reasonable probability of a potential commercial application related to the proposed research and development effort.

## **4. APPLICATION AND SUBMISSION INFORMATION**

## **4.1 GENERAL GUIDANCE**

This solicitation contains all information required to submit a proposal. No additional forms, kits, or other materials are needed. This notice constitutes the total BAA. No additional information is available, nor will a formal Request for Proposal (RFP) or additional solicitation regarding this announcement be issued. Requests for same will be disregarded.

In order to reduce the administrative burden on proposers and the Government and in an attempt to mitigate unnecessary costs associated with the generation of proposals that are not of interest to DARPA/STO, described herein is the Government's process for submittal of information for evaluation. Any responsible proposer is encouraged to respond.

### **4.1.1 Restrictive Markings on Proposals**

All proposals should clearly indicate limitations on the disclosure of their contents. Proposers who include in their proposals data that they do not want disclosed to the public for any purpose, or used by the Government except for evaluation purposes, shall-

(1) Mark the title page with the following legend:

This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed-in whole or in part-for any purpose other than to evaluate this proposal. If, however, a contract is awarded to this proposer as a result of, or in connection with, the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets [insert numbers or other identification of sheets]; and

(2) Mark each sheet of data it wishes to restrict with the following legend:

Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal.

Markings like "Company Confidential" or other phrases that may be confused with national security classifications shall be avoided. See Section 6.0, for additional information.

### **4.1.2 Proposal Handling**

It is the policy of DARPA to treat all proposals as competitive information and to disclose their contents only for the purpose of evaluation. No proposals will be returned. The original of each proposal received will be retained at DARPA and all other copies of non-accepted proposals destroyed. Documentation related to the source selection process will be marked "SOURCE SELECTION INFORMATION – SEE FAR 2.101 AND 3.104".



DARPA/STO will endeavor to respond to all submissions in an expeditious and timely manner. DARPA will assign a control number that should be used in all further correspondence regarding the submission.

#### **4.1.3 Submission Guidelines**

Executive summaries, proposal abstracts, and full proposals sent in response to BAA 09-22 **must be submitted via the web-based TFIMS application** at <http://www.tfims.darpa.mil/baa>. Email or fax submissions of proposal abstracts and full proposals will not be accepted. A thorough read of the instructions available at <http://www.tfims.darpa.mil/baa> guarantees successful submission to T-FIMS and explains all the necessary steps to submitting proposals through T-FIMS. Because proposers using T-FIMS may encounter heavy traffic on the web server, and T-FIMS requires a registration and certificate installation for all proposers, proposers should not wait until the day the proposal is due to create an account in T-FIMS and submit the proposal. All proposers using T-FIMS must also encrypt the proposal, as per the instructions below.

All proposals submitted electronically by means of an Electronic Business Application Tool or proposal submission web site (not including Grants.gov) must be encrypted using WinZip or PKZip with 256-bit AES encryption. Only one zipped/encrypted file will be accepted per proposal and proposals not zipped/encrypted will be rejected by DARPA. An encryption password form must be completed and emailed to [BAA09-22@darpa.mil](mailto:BAA09-22@darpa.mil) at the time of proposal submission. See <https://www.tfims.darpa.mil/baa/> for the encryption password form.

Note the word “PASSWORD” must appear in the subject line of the above email and there are minimum security requirements for establishing the encryption password. Failure to provide the encryption password may result in the proposal not being evaluated. For further information and instructions on how to zip and encrypt proposal files, see <https://www.tfims.darpa.mil/baa/>.

Proposers may elect to use the Grants.gov APPLY function if the applicant is seeking a grant or cooperative agreement. Such submissions may be made via [www.grants.gov](http://www.grants.gov) by using the “Apply for Grants” function. The APPLY function replaces the proposal submission process that other proposers follow. The APPLY function does not affect the proposal content or format. The APPLY function is electronic; proposers do not submit paper proposals in addition to the Grants.gov APPLY electronic submission.

All administrative correspondence and questions on this solicitation, including requests for information on how to submit a proposal abstract or proposal to this BAA, should be directed to [BAA09-22@darpa.mil](mailto:BAA09-22@darpa.mil). DARPA intends to use electronic mail and fax for correspondence regarding DARPA-BAA-09-22. DARPA encourages use of the Internet for retrieving the BAA and any other related information that may subsequently be provided.

#### **4.2 SUBMISSION ORDER AND FORMAT SPECIFICS**

For all responses to this BAA, the responder must clearly identify the technical topic area(s) the proposed effort seeks to address.

##### **4.2.1 Executive Summary Information**

Proposers are strongly encouraged to submit an executive summary in advance of a proposal. This procedure is intended to minimize unnecessary effort in proposal preparation and review. Executive summaries will be reviewed as they are received. DARPA will acknowledge receipt of the submission and assign a control number that should be used in all further correspondence regarding the executive summary.

DARPA will attempt to review executive summaries within thirty (30) calendar days after receipt. If DARPA/STO does not have interest in your Executive Summary you will be notified by a formal letter. If DARPA/STO is interested in receiving more information on your submission, you will be notified, by a formal letter, of the Program Manager (PM) to whom your executive summary has been assigned. Proposers should then expect to develop a **Proposal Abstract** (see paragraph 4.2.2.).

#### **4.2.1.1 Executive Summary Format**

All submissions must be in the following format – nonconforming submissions may be rejected without further review. The executive summary should be clearly marked "EXECUTIVE SUMMARY" and the total length shall not exceed one (1) page. A page is defined as being no larger than 8.5" by 11.0". (Accordion-style foldouts will be counted as multiple pages equivalent to the expanded size.) Proposals must be written in English, and with 1-inch margins (left, right, top, and bottom) on each page and contain no smaller than 12-point font type.

The page limitation for executive summaries includes all point of contact information, figures, tables, and charts. Do not submit additional copies of the same executive summary for different technical topic areas. If an executive summary applies to more than one area, simply indicate that fact.

**Proposers must submit their one-page executive summary via the web-based TFIMS application** at <http://www.tfims.darpa.mil/baa>. (NOTE: University submissions may be made via [www.grants.gov](http://www.grants.gov) by using the "Apply for Grants" function.) The executive summary must be in PDF or an MS Word readable application. No facsimile or hard copy submissions will be accepted.

DARPA/STO will endeavor to respond to executive summaries in an expeditious and timely manner. If DARPA/STO does not have interest in your Executive Summary you will be notified by a formal letter. If DARPA/STO is interested in receiving more information on your submission, you will be notified, by a formal letter, of the Program Manager (PM) to whom your executive summary has been assigned. Proposers should then expect to develop a **Proposal Abstract** (see paragraph 4.2.2.).

#### **4.2.2 Proposal Abstract and Discussion with a DARPA/STO PM**

Discussions at this step with the DARPA/STO PM are intended to further explore the concepts, ideas, and other areas of interest presented in the Executive Summary. Proposers will be able to further discuss the technical merits of their concept with a DARPA/STO Program Manager. The



purpose of the Proposal Abstract is to permit the submitter to present a more detailed explanation of the idea/concept, its technical merit and military relevance. The submitter should articulate the innovative concept and technology development needed with respect to demonstrable metrics. The submission of the Proposal Abstract should be used by the proposer to avoid unnecessary expense in proposal generation for ideas that may not be selected within this BAA. Proposers should explain in the Proposal Abstract the feasibility of idea/concept transition to the military, other government agencies or organizations, or other interested users, as applicable. Additionally, proposers should clearly specify the intended demonstrable improvements over current systems, explain transition paths, specify tentative schedules, and provide a rough estimate of cost. DARPA/STO will endeavor to respond to proposal abstracts in an expeditious and timely manner.

DARPA will respond to proposal abstracts with a statement as to whether DARPA is interested in the idea. DARPA will attempt to reply to proposal abstracts via letter within thirty (30) calendar days of receipt. Should a proposer be discouraged from submitting a full proposal, the letter will contain feedback for the proposer regarding the rationale for the decision not to recommend a full proposal be submitted. Proposal abstracts will be reviewed in the order they are received. Regardless of DARPA's response to a proposal abstract, proposers may submit a full proposal. DARPA will review all full proposals submitted using the published evaluation criteria and without regard to any comments resulting from the review of a proposal abstract.

#### **4.2.2.1 Proposal Abstract Format**

All submissions must be in the following format; nonconforming submissions may be rejected without further review. The total abstract length shall not exceed six (6) pages, including the table of contents. A page is defined as being no larger than 8.5" by 11.0". (Accordion-style foldouts will be counted as multiple pages equivalent to the expanded size.) Proposals must be on single-sided pages, written in English, and with 1-inch margins (left, right, top, and bottom) on each page. The Technical Proposal shall contain no smaller than 12-point font type.

The page limitation for abstracts includes all figures, tables, and charts. No formal transmittal letter is required.

**Proposers must submit their proposal abstracts via the web-based TFIMS application at <http://www.tfims.darpa.mil/baa>.** (NOTE: University submissions may be made via [www.grants.gov](http://www.grants.gov) by using the "Apply for Grants" function.) The submission shall include one (1) electronic copy of the proposal abstract. Electronic copies must be in PDF or an MS Word readable application.

The Proposal Abstract shall have a cover sheet. Format is to be followed using the template found in APPENDIX 1 to this solicitation (not included in the six page limit).

#### **4.2.3 Proposal Format**

The typical proposal should express a consolidated effort in support of one or more related technical concepts or ideas. Disjointed efforts should not be included into a single proposal.

Regardless of the recommendation during the executive summary or proposal abstract phases, the decision to propose is the responsibility of the proposer. All submitted proposals will be fully reviewed regardless of the disposition of the executive summary or proposal abstract.

Restrictive notices notwithstanding, proposals may be handled, for administrative purposes only, by a support contractor. This support contractor is prohibited from competition in DARPA technical research and is bound by appropriate nondisclosure requirements. Proposals and proposed abstracts may not be submitted by fax or e-mail; any so sent will be disregarded.

All proposals must be in the format given below. Nonconforming proposals may be rejected without review. Proposals shall consist of two volumes. All pages shall be printed on 8-1/2 by 11 inch paper with type not smaller than 12 point. The page limitation for proposals includes all figures, tables, and charts. Volume I, Technical and Management Proposal, may include an attached bibliography of relevant technical papers or research notes (published and unpublished) which document the technical ideas and approach upon which the proposal is based. Copies of not more than three (3) relevant papers can be included with the submission. The bibliography and attached papers are not included in the page counts given below. The submission of other supporting materials along with the proposals is strongly discouraged and will not be considered for review. The total length of Volume I shall not exceed 50 pages. All proposals must be written in English.

**Proposers must submit their full proposal via the web-based TFIMS application** at <http://www.tfims.darpa.mil/baa>. (NOTE: University submissions may be made via [www.grants.gov](http://www.grants.gov) by using the “Apply for Grants” function.) The submission shall include one (1) electronic copy of the proposal abstract. Electronic copies must be in PDF or an MS Word readable application.

#### 4.2.3.1 Volume I, Technical and Management Proposal

##### Section I. Administrative

- A. Cover sheet. Format to be followed using the template provided as APPENDIX 2 to this announcement.
- B. Official transmittal letter.

##### Section II. Summary of Proposal

- A. Innovative claims for the proposed research. This section is the centerpiece of the proposal and should succinctly describe the uniqueness and benefits of the proposed approach relative to the current state-of-art alternate approaches.
- B. Deliverables associated with the proposed research and the plans and capability to accomplish technology transition and commercialization. Include in this section all proprietary claims to the results, prototypes, intellectual property, or systems supporting and/or necessary for the use of the research, results, and/or prototype. If there are not proprietary claims, this should be stated.

- C. Cost, schedule and milestones for the proposed research, including estimates of cost for each task in each year of the effort delineated by the prime and major subcontractors, total cost and company cost share, if applicable. **Note: Measurable critical milestones should occur regularly after start of effort.** For efforts that exceed a single phase of short duration, the proposer shall describe clear and well-defined research go/no go metrics to be used as exit and entry criteria for government approval to progress through phases of the proposed effort. NOTE: The proposer is not required to submit proposed go/no go metrics for single phase/short duration (12 months or less) efforts.
- D. These milestones should enable and support a go/no go decision for the next part of the effort. Additional interim non-critical management milestones are also highly encouraged at a regular interval.
- E. Technical rationale, technical approach, and constructive plan for accomplishment of technical goals in support of innovative claims and deliverable production. (In the proposal, this section should be supplemented by a more detailed plan in Section III.)
- F. General discussion of other research in this area.
- G. A clearly defined organization chart for the program team which includes, as applicable: (1) the programmatic relationship of team member; (2) the unique capabilities of team members; (3) the task of responsibilities of team members; (4) the teaming strategy among the team members; and (5) the key personnel along with the amount of effort to be expended by each person during each year.
- H. A one-slide summary of the proposal in PowerPoint that quickly and succinctly indicates the main objective, key innovations, expected impact, and other unique aspects of the proposal.

### Section III. Detailed Proposal Information

- A. Statement of Work (SOW) - In plain English, clearly define the technical tasks/subtasks to be performed, their durations, and dependencies among them. The page length for the SOW will be dependent on the amount of the effort. For each task/subtask, provide:
  - A general description of the objective (for each defined task/activity);
  - A detailed description of the approach to be taken to accomplish each defined task/activity);
  - Identification of the primary organization responsible for task execution (prime, sub, team member, by name, etc.);
  - The exit criteria for each task/activity - a product, event or milestone that defines its completion;
  - Define all deliverables (reporting, data, reports, software, etc.) to be provided to the Government in support of the proposed research tasks/activities.

*Note: It is recommended that the SOW be developed so that each Phase of the program is separately defined. Do not include any proprietary information in the SOW.*

- B. Description of the results, products, transferable technology, and expected technology transfer path enhancing that of Section II. B. See also VI (B)(2) “Intellectual Property.”
- C. Detailed technical rationale enhancing that of Section II.
- D. Detailed technical approach enhancing and completing that of Section II.

- E. Comparison with other ongoing research indicating advantages and disadvantages of the proposed effort.
- F. Discussion of proposer's previous accomplishments and work in closely related research areas.
- G. Description of the facilities that would be used for the proposed effort.
- H. Detail support enhancing that of Section II, including formal teaming agreements which are required to execute this program.
- I. Cost schedules and milestones for the proposed research, including estimates of cost for each task in each year of the effort delineated by the primes and major subcontractors, total cost, and any company cost share. **Note: Measurable critical milestones should occur regularly after start of effort.** These milestones should enable and support a go/no go decision for the next part of the effort. Additional interim non-critical management milestones are also highly encouraged at regular intervals. For efforts that exceed a single phase of short duration, the proposer shall describe clear and well-defined research go/no go metrics to be used as exit and entry criteria for government approval to progress through phases of the proposed effort. The proposed approach for satisfying the proposed program go/no-go metrics should be explicitly described and clearly substantiated. Where the effort consists of multiple portions which could reasonably be partitioned for purposes of funding, these should be identified as options with separate cost estimates for each.

#### Section IV. Additional Information

A brief bibliography of relevant technical papers and research notes (published and unpublished) which document the technical ideas upon which the proposal is based. Copies of not more than three (3) relevant papers can be included in the submission.

#### 4.2.3.2 Volume II, Cost Proposal – {No Page Limit}

Cover sheet. Format to be followed using the template provided as APPENDIX 3 to this solicitation.

Detailed cost breakdown to include:

(1) total program cost broken down by major cost items to include:

- i. Direct labor, including individual labor categories or persons, with associated labor hours and direct labor rates. [Note: Labor hours for Key Personnel and associated task should be specifically identified and correspond to the technical proposal];
- ii. If consultants are to be used, proposer must provide consultant agreement or other document which verifies the proposed loaded daily/hourly rate;
- iii. Indirect costs including Fringe Benefits, Overhead, General and Administrative Expense, Cost of Money, etc. (At a minimum, must show base amount and rate application to derive the proposed cost across);
- iv. Travel – Number of trips, number of days per trip, departure and arrival destinations, number of people, etc.;
- v. Other Direct Costs – Should be itemized with quoted costs or estimated costs. Backup documentation, e.g., specific or relevant quotes for purchase material or services items, should be submitted to support proposed costs.

- (2) cost of major program tasks (consistent with the proposed statement of work) by month and by U.S. Government fiscal year;
- (3) the prime is responsible for compiling and providing all subcontractor proposals. All prime and subcontractor proposals should separately identify any Interdivisional Work Orders (IWO), or similar arrangements. An itemization of all major subcontracts, IWO, and equipment/material purchases, to include: a cost proposal as detailed as the prime's cost proposal, shall be provided. All equipment/material should be specifically itemized with quoted costs or estimated costs. An explanation of any estimating factors, including their derivation and application, shall be provided. Please include a brief description of the proposers' procurement method to be used and provide all major subcontract analysis. All proprietary subcontractor proposal documentation of which cannot be uploaded to T-FIMS shall be provided to the Government either by the prime or by the subcontractor organization when the proposal is submitted. Subcontractor proposals submitted to the Government by the prime should be submitted in a sealed envelope that the prime will not be allowed to view. The subcontractor must provide the same number of hard copies and/or electronic proposals as is required of the prime;
- (4) an itemization of any information technology (IT)<sup>1</sup> purchase including subcontractor cost (NOTE: For IT equipment purchases, include a letter stating why the proposer cannot provide the requested resources from its own funding);
- (5) any Government Furnished/Facilities/information required for execution of proposed-tasks shall be clearly identified, sources and need date noted, and corresponding costs identified (including explanation of basis for those costs);
- (6) the source, nature, and amount of any industry cost-sharing shall be provided. The utilization timeframe and tasks being leveraged by the industry 'cost-sharing' shall be described in sufficient detail;
- (7) Where the effort consists of multiple portions which could reasonably be partitioned for purposes of funding, these should be identified as Options/Phases with separate cost estimates for each; and identification of associated pricing assumptions. These Options/Phases may be incorporated into the resulting award instrument. The applicable use of Government Furnished / Facilities / Information, access to Government Subject Matter Experts, need date and corresponding exercise date for each option etc. shall be noted;
- (8) All costs must be given in USD. Costs will not cite any foreign currencies or foreign currency exchange rates.

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<sup>1</sup> IT is defined as "any equipment, or interconnected system(s) or subsystem(s) of equipment that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by the agency. (a) For purposes of this definition, equipment is used by an agency if the equipment is used by the agency directly or is used by a contractor under a contract with the agency which – (1) Requires the use of such equipment; or (2) Requires the use, to a significant extent, or such equipment in the performance of a service or the furnishing of a product. (b) The term "information technology" includes computers, ancillary, software, firmware and similar procedures, services (including support services), and related resources. (c) The term "information technology" does not include – (1) Any equipment that is acquired by a contractor incidental to a contract; or (2) Any equipment that contains imbedded information technology that is used as an integral part of the product, but the principal function of which is not the acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information. For example, HVAC (heating, ventilation, and air conditioning) equipment such as thermostats or temperature control devices, and medical equipment where information technology is integral to its operation, are not information technology."

The Government also requests that the Cost Proposal include MS Excel™ file(s) that provide traceability between the Bases of Estimate (BOEs) and the proposed costs across all elements and phases. This includes the calculations and adjustments that are utilized to generate the Summary Costs from the source labor hours, labor costs, material costs, etc. input data. It is requested that the costs and Subcontractor proposals be readily traceable to the Prime Cost Proposal in the provided MS Excel file(s). The Government prefers receiving cost data as Excel files; however, this is not a requirement.

Supporting cost and pricing information in sufficient detail to substantiate the summary cost estimates in B. above. Include a description of the method used to estimate costs and supporting documentation. Note: “cost or pricing data” as defined in FAR Subpart 15.4 shall be required if the proposer is seeking a procurement contract award of \$650,000 or greater unless the proposers request an exception from the requirement to submit cost of pricing data. “Cost or pricing data” are not required if the proposer proposes an award instrument other than a procurement contract (e.g., a grant, cooperative agreement, or other transaction.) All proprietary subcontractor proposal documentation, prepared at the same level of detail as that required of the prime, shall be made immediately available to the Government, upon request, under separate cover (i.e., mail, electronic / email, etc.), either by the Proposer or by the subcontractor organization.

NOTE: The FY2008 Defense Appropriations Act caps indirect cost rates for any procurement contract, grant or agreement using 6.1 Basic Research FY08 Funding at 35% of the total cost of the award. Total costs include all bottom line costs. Indirect costs are all costs of a prime award that are Facilities and Administration costs (for awardees subject to the cost principles in 2 CFR part 220) or indirect costs (for awardees subject to the cost principles in 2 CFR part 225 or 230 or 48 CFR part 32). Where appropriate, DARPA anticipates using 6.1 funding for this BAA. Proposers are advised that where 6.1 funding is provided, total negotiated indirect cost rates may not exceed 35% of the total cost of the award. The cost limitations do not flow down to subcontractors. The original text of the Act can be found at Department of Defense Appropriations Act of 2008, Pub. L. No. 110-116, §8115, [http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=110\\_cong\\_public\\_laws&docid=f:publ116.110](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=110_cong_public_laws&docid=f:publ116.110).

All proposers requesting an 845 Other Transaction Authority for Prototypes (OTA) agreement must include a detailed list of payment milestones. Each such payment milestone must include the following: milestone description, exit criteria, due date, milestone payment amount (to include, if cost share is proposed, contractor and Government share amounts). It is noted that, at a minimum, such payable milestones should relate directly to accomplishment of program technical go/no-go criteria as defined in the BAA and/or the proposer’s proposal. Agreement type, fixed price or expenditure based, will be subject to negotiation by the Agreements Officer; however, it is noted that the Government prefers use of fixed price payable milestones to the maximum extent possible. Do not include proprietary data. If the proposer requests award of an 845 OTA agreement as a nontraditional defense contractor, as so defined in the OSD guide entitled “Other Transactions (OT) Guide For Prototype Projects” dated January 2001 (as amended) (<http://www.acq.osd.mil/dpap/Docs/otguide.doc>), information must be included in the cost proposal to support the claim. Additionally, if the proposer plans requests award of an 845 OTA agreement, without the required one-third (1/3) cost share, information must be included in



the cost proposal supporting that there is at least one non-traditional defense contractor participating to a significant extent in the proposed prototype project.

#### **4.3 SUBMISSION DATES AND TIMES**

This BAA shall be open from date of publication through 2:00 p.m. local time Arlington, Virginia, 10 March 2010. Executive summaries, proposal abstracts, and full proposals will be reviewed as they are received.

DARPA will acknowledge receipt of complete submissions via email and assign control numbers that should be used in all further correspondence regarding proposals.

Failure to comply with the submission procedures may result in the submission not being evaluated.

### **5. APPLICATION REVIEW INFORMATION**

#### **5.1 EVALUATION CRITERIA**

Evaluation of proposals will be accomplished through a scientific/technical review of each proposal using the following criteria, in order of descending importance: (a) Ability to Meet Proposed Metrics; (b) Overall Scientific and Technical Merit; (c) Potential Contribution and Relevance to the DARPA Mission; (d) Realism of Proposed Schedule. (e) Proposer's Capabilities and/or Related Experience; (f) Plans and Capability to Accomplish Technology Transition; and (g) Cost Realism. Proposals will not be evaluated against each other since they are not submitted in accordance with a common work statement. DARPA's intent is to review proposals as soon as possible after they arrive; however, proposals may be reviewed periodically for administrative reasons. The following are descriptions of the above listed criteria:

##### **5.1.1 Ability to Meet Proposed Metrics**

The proposal establishes clear and well-defined research metrics to be used as exit and entry criteria for government approval to progress through phases of the proposed effort. The feasibility and likelihood of the proposed approach for satisfying the program metrics are explicitly described and clearly substantiated. The proposal reflects a mature and quantitative understanding of the proposed metrics, the statistical confidence with which they may be measured, and their relationship to the concept of operations that will result from successful performance. NOTE: This criterion will not be used to evaluate single phase/short duration (12 months or less) efforts, unless the Government requests research metrics be provided.

##### **5.1.2 Overall Scientific and Technical Merit**

The proposed technical approach is feasible, achievable, complete and supported by a proposed technical team that has the expertise and experience to accomplish the proposed tasks as referenced in Section 4.2.3.1, Sub-Section III. Detailed Technical Proposal on page 19. Task descriptions and associated technical elements provided are complete and in a logical sequence

with all proposed deliverables clearly defined such that a final product that achieves the goal can be expected as a result of award. The proposal clearly identifies major technical risks and planned mitigation efforts and provides ample justification as to why the approach is feasible.

### **5.1.3 Potential Contribution and Relevance to the DARPA Mission**

The potential contributions of the proposed effort with relevance to the national technology base will be evaluated. Specifically, DARPA's mission is to maintain the technological superiority of the U.S. military and prevent technological surprise from harming our national security by sponsoring revolutionary, high-payoff research that bridges the gap between fundamental discoveries and their military use.

### **5.1.4 Realism of Proposed Schedule**

The proposer's abilities to aggressively pursue performance metrics in the shortest timeframe and to accurately account for that timeframe will be evaluated, as well as proposer's ability to understand, identify, and mitigate any potential risk in schedule.

### **5.1.5 Proposer's Capabilities and/or Related Experience**

The proposer's prior experience in similar efforts must clearly demonstrate an ability to deliver products that meet the proposed technical performance within the proposed budget and schedule. The proposed team's expertise to manage the cost and schedule will be evaluated. Similar efforts completed/ongoing by the proposer in this area are fully described including identification of other Government sponsors.

### **5.1.6 Plans and Capability to Accomplish Technology Transition**

The capability to transition the technology to the research, industrial, and operational military communities in such a way as to enhance U.S. defense, and the extent to which intellectual property rights limitations creates or may create a barrier to technology transition.

### **5.1.7 Cost Realism**

The objective of this criterion is to establish that the proposed costs are realistic for the technical and management approach offered, as well as to determine the proposer's practical understanding of the effort. This will be principally measured by cost per labor-hour and number of labor-hours proposed. The evaluation criterion recognize that undue emphasis on cost may motivate proposers to offer low-risk ideas with minimum uncertainty and to staff the effort with junior personnel in order to be in a more competitive posture. DARPA discourages such cost strategies. Cost reduction approaches that will be received favorably include innovative management concepts that maximize direct funding for technology and limit diversion of funds into overhead.

After selection and before award the contracting officer will negotiate cost/price reasonableness.



Award(s) will be made to proposers whose proposals are determined to be the most advantageous to the Government, all factors considered, including the potential contributions of the proposed work to the overall research program and the availability of funding for the effort. Award(s) may be made to any proposer(s) whose proposal(s) is determined selectable regardless of its overall rating.

NOTE: PROPOSERS ARE CAUTIONED THAT EVALUATION RATINGS MAY BE LOWERED AND/OR PROPOSALS REJECTED IF SUBMITTAL INSTRUCTIONS ARE NOT FOLLOWED.

## **5.2 REVIEW AND SELECTION PROCESS**

It is the policy of DARPA to ensure impartial, equitable, comprehensive proposal evaluations and to select the source (or sources) whose offer meets the Government's technical, policy, and programmatic goals. Pursuant to FAR 35.016, the primary basis for selecting proposals for acceptance shall be technical, importance to agency programs, and fund availability. In order to provide the desired evaluation, qualified Government personnel will conduct reviews and (if necessary) convene panels of experts in the appropriate areas.

Proposals will not be evaluated against each other since they are not submitted in accordance with a common work statement. DARPA's intent is to review proposals as soon as possible after they arrive; however, proposals may be reviewed periodically for administrative reasons. For evaluation purposes, a proposal is the document described in "Proposal Format", Section 4.2.3. Other supporting or background materials submitted with the proposal will be considered for the reviewer's convenience only and not considered as part of the proposal.

Restrictive notices notwithstanding, proposals may be handled for administrative purposes by support contractors. These support contractors are prohibited from competition in DARPA technical research and are bound by appropriate non-disclosure requirements.

Subject to the restrictions set forth in FAR 37.203(d), input on technical aspects of the proposals may be solicited by DARPA from non-Government consultants /experts who are strictly bound by the appropriate non-disclosure requirements.

It is the policy of DARPA to treat all proposals as competitive information and to disclose their contents only for the purpose of evaluation. No proposals will be returned. Upon completion of the source selection process, the original of each proposal received will be retained at DARPA and all other copies will be destroyed.

## **6. AWARD ADMINISTRATION INFORMATION**

### **6.1 AWARD NOTICES**

As soon as the evaluation of a proposal is complete, the proposers will be notified that 1) the proposal has been selected for funding pending contract negotiations, or 2) the proposal has not

been selected. These official notifications will be sent via US Mail to the Technical POC identified on the proposal coversheet.

## **6.2 ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS**

### **6.2.1 Security**

The Government anticipates that the majority of proposals submitted under this BAA will be unclassified. In the event that a proposer chooses to submit a classified proposal or submit any documentation that may be classified, the following information is applicable. If a proposal exploits U.S. vulnerabilities, promises asymmetric advantage, or the idea would generate adversary countermeasures, the proposer should submit their research proposals with adequate corporate proprietary or security protection to mitigate potential compromise and ensure the maximization of any DoD investment.

Classified submissions shall be appropriately and conspicuously marked with the proposed classification level and declassification date. Submissions requiring DARPA to make a final classification determination shall be marked as follows:

CLASSIFICATION DETERMINATION PENDING. Protect as though classified (insert the recommended classification level, e.g. Top Secret, Secret or Confidential).

After reviewing the incoming proposals, if a determination is made that the award instrument may result in access to classified information; a DD Form 254 will be issued and attached as part of the award. Proposers choosing to submit a classified proposal must first receive permission from the Original Classification Authority to use their information in replying to this BAA. Applicable classification guide(s) should be submitted to ensure that the proposal is protected appropriately.

Classified submissions shall be in accordance with the following guidance:

**Collateral Classified Information:** Use classification and marking guidance provided by previously issued security classification guides, the Information Security Regulation (DoD 5200.1-R), and the National Industrial Security Program Operating Manual (DoD 5220.22-M) when marking and transmitting information previously classified by another original classification authority. Classified information at the Confidential and Secret level may only be mailed via U.S. Postal Service (USPS) Registered Mail or U.S. Postal Service Express Mail. All classified information will be enclosed in opaque inner and outer covers and double wrapped. The inner envelope shall be sealed and plainly marked with the assigned classification and addresses of both sender and addressee. The inner envelope shall be address to:

Defense Advanced Research Projects Agency  
ATTN: STO  
Reference: (DARPA-BAA-09-22)  
3701 North Fairfax Drive  
Arlington, VA 22203-1714

The outer envelope shall be sealed with no identification as to the classification of its contents and addressed to:

Defense Advanced Research Projects Agency  
Security & Intelligence Directorate, Attn: CDR  
3701 North Fairfax Drive  
Arlington, VA 22203-1714

All Top Secret materials should be hand carried via an authorized, two-person courier team to the DARPA CDR.

**Special Access Program (SAP) Information:** Contact the DARPA Special Access Program Central Office (SAPCO) 703-526-4052 for further guidance and instructions prior to transmitting SAP information to DARPA. Top Secret SAP, must be transmitted via approved methods for such material. Consult the DoD Overprint to the National Industrial Security Program Operating Manual for further guidance. *Prior to transmitting SAP material*, it is strongly recommended that you coordinate your submission with the DARPA SAPCO.

**Sensitive Compartmented Information (SCI) Data:** Contact the DARPA Special Security Office (SSO) at 703-812-1994/1993 for the correct SCI courier address and instructions. All SCI should be transmitted through your servicing Special Security Officer (SSO). SCI data must be transmitted through SCI channels only (i.e., approved SCI Facility to SCI facility via secure fax).

**Proprietary Data:** All proposals containing proprietary data should have the cover page and each page containing proprietary data clearly marked as containing proprietary data. It is the Proposers' responsibility to clearly define to the Government what is considered proprietary data.

Proposers must have existing and in-place prior to execution of an award, approved capabilities (personnel and facilities) to perform research and development at the classification level they propose. It is the policy of DARPA to treat all proposals as competitive information, and to disclose their contents only for the purpose of evaluation. Proposals will not be returned. The original of each proposal received will be retained at DARPA and all other non-required copies destroyed. A certification of destruction may be requested, provided that the formal request is received at this office within 5 days after unsuccessful notification.

## **6.3 INTELLECTUAL PROPERTY**

### **6.3.1 Procurement Contract Proposers**

#### **6.3.1.1 Noncommercial Items (Technical Data and Computer Software)**

Proposers responding to this BAA requesting a procurement contract to be issued under the FAR/DFARS, shall identify all noncommercial technical data, and noncommercial computer software that it plans to generate, develop, and/or deliver under any proposed award instrument in which the Government will acquire less than unlimited rights, and to assert specific

restrictions on those deliverables. Proposers shall follow the format under DFARS 252.227-7017 for this stated purpose. In the event that proposers do not submit the list, the Government will assume that it automatically has “unlimited rights” to all noncommercial technical data and noncommercial computer software generated, developed, and/or delivered under any award instrument, unless it is substantiated that development of the noncommercial technical data and noncommercial computer software occurred with mixed funding. If mixed funding is anticipated in the development of noncommercial technical data, and noncommercial computer software generated, developed, and/or delivered under any award instrument, then proposers should identify the data and software in question, as subject to Government Purpose Rights (GPR). In accordance with DFARS 252.227-7013 Rights in Technical Data - Noncommercial Items, and DFARS 252.227-7014 Rights in Noncommercial Computer Software and Noncommercial Computer Software Documentation, the Government will automatically assume that any such GPR restriction is limited to a period of five (5) years in accordance with the applicable DFARS clauses, at which time the Government will acquire “unlimited rights” unless the parties agree otherwise. Proposers are admonished that the Government will use the list during the source selection evaluation process to evaluate the impact of any identified restrictions, and may request additional information from the proposer, as may be necessary, to evaluate the proposer’s assertions. If no restrictions are intended, then the proposer should state “NONE.”

A sample list for complying with this request is as follows:

NONCOMMERCIAL			
Technical Data Computer Software To be Furnished With Restrictions	Basis for Assertion	Asserted Rights Category	Name of Person Asserting Restrictions
(LIST)	(LIST)	(LIST)	(LIST)

#### 6.3.1.2 Commercial Items (Technical Data and Computer Software)

Proposers responding to this BAA requesting a procurement contract to be issued under the FAR/DFARS, shall identify all commercial technical data, and commercial computer software that may be embedded in any noncommercial deliverables contemplated under the research effort, along with any applicable restrictions on the Government’s use of such commercial technical data and/or commercial computer software. In the event that proposers do not submit the list, the Government will assume that there are no restrictions on the Government’s use of such commercial items. The Government may use the list during the source selection evaluation process to evaluate the impact of any identified restrictions, and may request additional information from the proposer, as may be necessary, to evaluate the proposer’s assertions. If no restrictions are intended, then the proposer should state “NONE.”

A sample list for complying with this request is as follows:

COMMERCIAL			
Technical Data Computer Software To be Furnished With	Basis for Assertion	Asserted Rights Category	Name of Person Asserting Restrictions

Restrictions			
(LIST)	(LIST)	(LIST)	(LIST)

### **6.3.2 NonProcurement Contract Proposers**

#### **6.3.2.1 Noncommercial and Commercial Items (Technical Data and Computer Software)**

Proposers responding to this BAA requesting an Other Transaction for Prototype shall follow the applicable rules and regulations governing that instrument, but in all cases should appropriately identify any potential restrictions on the Government's use of any Intellectual Property contemplated under that award instrument. This includes both Noncommercial Items and Commercial Items. Although not required, proposers may use a format similar to that described in Paragraphs 1.a and 1.b above. The Government may use the list during the source selection evaluation process to evaluate the impact of any identified restrictions, and may request additional information from the proposer, as may be necessary, to evaluate the proposer's assertions. If no restrictions are intended, then the proposer should state "NONE."

### **6.3.3 All Proposers – Patents**

Include documentation proving your ownership of or possession of appropriate licensing rights to all patented inventions (or inventions for which a patent application has been filed) that will be utilized under your proposal for the DARPA program. If a patent application has been filed for an invention that your proposal utilizes, but the application has not yet been made publicly available and contains proprietary information, you may provide only the patent number, inventor name(s), assignee names (if any), filing date, filing date of any related provisional application, and a summary of the patent title, together with either: 1) a representation that you own the invention, or 2) proof of possession of appropriate licensing rights in the invention.

### **6.3.4 All Proposers-Intellectual Property Representations**

Provide a good faith representation that you either own or possess appropriate licensing rights to all other intellectual property that will be utilized under your proposal for the DARPA program. Additionally, proposers shall provide a short summary for each item asserted with less than unlimited rights that describes the nature of the restriction and the intended use of the intellectual property in the conduct of the proposed research.

## **6.4 MEETING AND TRAVEL REQUIREMENTS**

Proposers shall include within the content of their proposal details and costs of any travel or meetings they deem to be necessary throughout the course of the effort, to include periodic status reviews by the government.

## **6.5 HUMAN USE**

All research involving human subjects, to include use of human biological specimens and human data, selected for funding must comply with the federal regulations for human subject protection and DARPA Instruction No. 66 *Protection of Human Subjects in Research* (attached). Further,

research involving human subjects that is conducted or supported by the DoD must comply with 32 CFR 219, *Protection of Human Subjects* (<http://www.dtic.mil/biosys/downloads/32cfr219.pdf>), and DoD Directive 3216.02, *Protection of Human Subjects and Adherence to Ethical Standards in DoD-Supported Research* (<http://www.dtic.mil/whs/directives/corres/html2/d32162x.htm>).

Institutions awarded funding for research involving human subjects must provide documentation of a current Assurance of Compliance with Federal regulations for human subject protection, for example a Department of Health and Human Services, Office of Human Research Protection Federal Wide Assurance (<http://www.hhs.gov/ohrp>). All institutions engaged in human subject research, to include subcontractors, must also have a valid Assurance. In addition, personnel involved in human subjects research must provide documentation of completing appropriate training for the protection of human subjects.

For all proposed research that will involve human subjects in the first year or phase of the project, the institution must provide evidence of or a plan for review by an Institutional Review Board (IRB) upon final proposal submission to DARPA. The IRB conducting the review must be the IRB identified on the institution's Assurance. The protocol, separate from the proposal, must include a detailed description of the research plan, study population, risks and benefits of study participation, recruitment and consent process, data collection, and data analysis. Consult the designated IRB for guidance on writing the protocol. The informed consent document must comply with federal regulations (32 CFR 219.116). A valid Assurance along with evidence of appropriate training all investigators should all accompany the protocol for review by the IRB.

In addition to a local IRB approval, a headquarters-level human subjects regulatory review and approval is required for all research conducted or supported by the DoD. The Army, Navy, or Air Force office responsible for managing the award can provide guidance and information about their component's headquarters-level review process. Note that confirmation of a current Assurance and appropriate human subjects protection training is required before headquarters-level approval can be issued.

The amount of time required to complete the IRB review/approval process may vary depending on the complexity of the research and/or the level of risk to study participants. Ample time should be allotted to complete the approval process. The IRB approval process can last between one to three months, followed by a DoD review that could last between three to six months. No DoD/DARPA funding can be used towards human subjects research until ALL approvals are granted.

## **6.6 ANIMAL USE**

Any Recipient performing research, experimentation, or testing involving the use of animals shall comply with the rules on animal acquisition, transport, care, handling, and use in: (i) 9 CFR parts 1-4, Department of Agriculture rules that implement the Laboratory Animal Welfare Act of 1966, as amended, (7 U.S.C. 2131-2159); (ii) the guidelines described in National Institutes of Health Publication No. 86-23, "Guide for the Care and Use of Laboratory Animals"; (iii) DoD Directive 3216.01, "Use of Laboratory Animals in DoD Program."



For submissions containing animal use, proposals should briefly describe plans for Institutional Animal Care and Use Committee (IACUC) review and approval. Animal studies in the program will be expected to comply with the PHS Policy on Humane Care and Use of Laboratory Animals, available at <http://grants.nih.gov/grants/olaw/olaw.htm>.

All Recipients must receive approval by a DoD certified veterinarian, in addition to an IACUC approval. No animal studies may be conducted using DoD/DARPA funding until the USAMRMC Animal Care and Use Review Office (ACURO) or other appropriate DoD veterinary office(s) grant approval. As a part of this secondary review process, the Recipient will be required to complete and submit an ACURO Animal Use Appendix, which may be found at <https://mrmc.amedd.army.mil/AnimalAppendix.asp>

## **6.7 PUBLICATION APPROVAL**

It is the policy of the Department of Defense for products of fundamental research to remain unrestricted to the maximum extent possible. Contracted fundamental research:

Includes research performed under grants and contracts that are (a) Basic Research”), whether performed by universities or industry or (b) applies research and performed on-campus at a university. The research shall not be considered fundamental in those rare and exception circumstances where the applied research effort presents a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense, and where agreement on restrictions have been recorded in the contract or grant.

It is anticipated that the performance of research resulting from the BAA will include both fundamental research and advanced research. DARPA will make the final determination as to whether the research performed under each grant or contract will be considered fundamental research or advanced research.

Proposers are advised if they propose grants or cooperative agreements, DARPA may elect to award other award instruments. DARPA will make this election if it determines that the research resulting from the proposed program will present a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense. Any award resulting from such a determination will include a requirement for DARPA permission before publishing any information or results on the program.

The following provision will be incorporated into any resultant procurement contract or other transaction:

(a) There shall be no dissemination or publication, except within and between the Contractor and any subcontractors, of information developed under this contract or contained in the reports to be furnished pursuant to this contract without prior written approval of the DARPA Technical Information Officer (DARPA/TIO). All technical reports will be given proper review by appropriate authority to determine which Distribution Statement is to be applied prior to the initial distribution of these reports by the Contractor. Papers resulting from unclassified

contracted fundamental research are exempt from prepublication controls and this review requirement, pursuant to DoD Instruction 5230.27 dated October 6, 1987.

(b) When submitting material for written approval for open publication as described in subparagraph (a) above, the Contractor/Awardee must submit a request for public release to the DARPA TIO and include the following information: 1) Document Information: document title, document author, short plain-language description of technology discussed in the material (approx. 30 words), number of pages (or minutes of video) and document type (briefing, report, abstract, article, or paper); 2) Event Information: event type (conference, principle investigator meeting, article or paper), event date, desired date for DARPA's approval; 3) DARPA Sponsor: DARPA Program Manager, DARPA office, and contract number; and 4) Contractor/Awardee's Information: POC name, e-mail and phone. Allow four weeks for processing; due dates under four weeks require a justification. Unusual electronic file formats may require additional processing time. Requests can be sent either via e-mail to [tio@darpa.mil](mailto:tio@darpa.mil) or via 3701 North Fairfax Drive, Arlington VA 22203-1714, telephone (571) 218-4235. Refer to [www.darpa.mil/tio](http://www.darpa.mil/tio) for information about DARPA's public release process.

## **6.8 EXPORT CONTROL**

Should this project develop beyond fundamental research (basic and applied research ordinarily published and shared broadly within the scientific community) with military or dual-use applications, the following apply:

(1) The Contractor shall comply with all U. S. export control laws and regulations, including the International Traffic in Arms Regulations (ITAR), 22 CFR Parts 120 through 130, and the Export Administration Regulations (EAR), 15 CFR Parts 730 through 799, in the performance of this contract. In the absence of available license exemptions/exceptions, the Contractor shall be responsible for obtaining the appropriate licenses or other approvals, for obtaining the appropriate licenses or other approvals, if required, for exports of (including deemed exports) hardware, technical data, and software, or for the provision of technical assistance.

(2) The Contractor shall be responsible for obtaining export licenses, if required, before utilizing foreign persons in the performance of this contract, including instances where the work is to be performed on-site at any Government installation (whether in or outside the United States), where the foreign person will have access to export-controlled technologies, including technical data or software.

(3) The Contractor shall be responsible for all regulatory record keeping requirements associated with the use of licenses and license exemptions/exceptions.

(4) The Contractor shall be responsible for ensuring that the provisions of this clause apply to its subcontractors.

## **6.9 SUBCONTRACTING**

Pursuant to Section 8(d) of the Small Business Act (15 U.S.C. 637(d)), it is the policy of the Government to enable small business and small disadvantaged business concerns to be



considered fairly as subcontractors to contractors performing work or rendering services as prime contractors or subcontractors under Government contracts, and to assure that prime contractors and subcontractors carry out this policy. Each proposer who submits a contract proposal and includes subcontractors is required to submit a subcontracting plan in accordance with FAR 19.702(a) (1) and (2) should do so with their proposal. The plan format is outlined in FAR 19.704.

## **6.10 ELECTRONIC AND INFORMATION TECHNOLOGY**

All electronic and information technology acquired through this solicitation must satisfy the accessibility requirements of Section 508 of the Rehabilitation Act (29 U.S.C. 794d) and FAR Subpart 39.2. Each proposer who submits a proposal involving the creation or inclusion of electronic and information technology must ensure that Federal employees with disabilities will have access to and use of information that is comparable to the access and use by Federal employees who are not individuals with disabilities and members of the public with disabilities seeking information or services from DARPA will have access to and use of information and data that is comparable to the access and use of information and data by members of the public who are not individuals with disabilities.

## **6.11 REPORTING**

The number and types of reports will be specified in the award document, but will include as a minimum monthly financial status reports. The reports shall be prepared and submitted in accordance with the procedures contained in the award document and mutually agreed on before award. Reports and briefing material will also be required as appropriate to document progress in accomplishing program metrics. A Final Report that summarizes the project and tasks will be required at the conclusion of the performance period for the award, notwithstanding the fact that the research may be continued under a follow-on vehicle.

### **6.11.1 Central Contractor Registration (CCR)**

Selected proposers not already registered in the Central Contractor Registry (CCR) will be required to register in CCR prior to any award under this BAA. Information on CCR registration is available at <http://www.ccr.gov>.

### **6.11.2 Representations and Certifications**

In accordance with FAR 4.1201, prospective proposers shall complete electronic annual representations and certifications at <http://orca.bpn.gov>.

### **6.11.3 Wide Area Work Flow (WAWF)**

Unless using another approved electronic invoicing system, performers will be required to submit invoices for payment directly via the Internet/WAWF at <http://wawf.eb.mil>. Registration to WAWF will be required prior to any award under this BAA.

## **6.12 AGENCY CONTACTS**

Administrative, technical or contractual questions should be sent via e-mail to [BAA09-22@darpa.mil](mailto:BAA09-22@darpa.mil). If e-mail is not available, fax questions to 703-516-8798, Attention: DARPA-BAA09-22. All requests must include the name, email address, and phone number of a point of contact.

Points of Contact  
STO BAA Coordinator  
Fax: (703)-516-8798  
Electronic mail: [BAA09-22@darpa.mil](mailto:BAA09-22@darpa.mil).

## **7.0 APPENDIX 1: VOLUME 1 COVER SHEET TEMPLATE**

**APPENDIX 1: VOLUME 1 COVER SHEET TEMPLATE**

**Volume I, Technical and Management Proposal**

**(1) Lead Organization Submitting Proposal:** \_\_\_\_\_

(2) Type of Business, selected among the following categories: “LARGE BUSINESS”, “SMALL DISADVANTAGED BUSNIESS”, “OTHER SMALL BUSNIESS”, “HBCU”, “MI”, “OTHER EDUCATIONAL”, OR “OTHER NONPROFIT”

(3) Other team members (if applicable) and type of business for each:

Company 1 (Other Small Business)

Company 2 (Large Business)

Company 3 (Large Business)

University (Other Educational)

(4) Contractor’s reference number (if any): \_\_\_\_\_

**(5) Proposal Title:** \_\_\_\_\_

**Proposal directed to the attention of (if applicable):** \_\_\_\_\_

(6) Technical point of contact to include:

Salutation, last name first name

Street Address

Street Address 2

City, State, Zip Code

Telephone, Fax (if available)

Electronic mail (if available)

(7) Administrative point of contact to include:

Salutation, last name first name

Street Address

Street Address 2

City, State, Zip Code

Telephone, Fax (if available)

Electronic mail (if available)

(8) Funding:	Funds Requested	Cost Share (if any)	Total Funds	Duration
Phase 1: BASE				
Phase 2: OPTION 1				
Phase 3: OPTION 2				

(10) Date proposal submitted: \_\_\_\_\_

## **8.0 APPENDIX 2: VOLUME 2 COVER SHEET TEMPLATE**

Volume II, Cost Proposal

**(1) Lead Organization Submitting Proposal:**\_\_\_\_\_

(2) Type of Business, selected among the following categories: “LARGE BUSINESS”, “SMALL DISADVANTAGED BUSNIESS”, “OTHER SMALL BUSNIESS”, “HBCU”, “MI”, “OTHER EDUCATIONAL”, OR “OTHER NONPROFIT”

(3) Other team members (if applicable) and type of business for each:

Company 1 (Other Small Business)

Company 2 (Large Business)

Company 3 (Large Business)

University (Other Educational)

(4) Contractor’s reference number (if any):\_\_\_\_\_

**(5) Proposal Title:**\_\_\_\_\_

**Proposal directed to the attention of (if applicable):**\_\_\_\_\_

(6) Technical point of contact to include: (7) Administrative point of contact to include:

Salutation, last name first name

Salutation, last name first name

Street Address

Street Address

Street Address 2

Street Address 2

City, State, Zip Code

City, State, Zip Code

Telephone, Fax (if available)

Telephone, Fax (if available)

Electronic mail (if available)

Electronic mail (if available)

(8) Award Instrument Requested: cost-plus-fixed-fee (CPFF), cost-contract – no fee, cost sharing contract – no fee, or other type of procurement contract (specify), or other transaction

(9) Place and period of performance:\_\_\_\_\_

(10) Proposer’s Cognizant Defense Contract Management Agency (DCMA), Defense Contract Audit Agency (DCAA) Information:

DCMA Administration Office (if known):

DCAA Audit Office (if known):

Salutation, last name first name

Salutation, last name first name

Street Address

Street Address

Street Address 2

Street Address 2

City, State, Zip Code

City, State, Zip Code

Telephone, Fax (if available)

Telephone, Fax (if available)

(11) DUNS number:\_\_\_\_\_

(12) TIN (Tax Information Number):\_\_\_\_\_

(13) Cage Code:\_\_\_\_\_

(14) Proposal Validity Period:\_\_\_\_\_

(15) Any Forward Pricing Rate Agreement, other such approved rate information, or such other documentation that may assist in expediting negotiations (if available).

(16) Funding:	Funds Requested	Cost Share (if any)	Total Funds	Duration
Phase 1: BASE				
Phase 2: OPTION 1				
Phase 3: OPTION 2				

(18) Date proposal submitted: \_\_\_\_\_